

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**INFORMATION DISCLOSURE STATEMENT TRANSMITTAL**

In re Application of: Andrew J. Ries, et al.  
For: CONNECTOR ASSEMBLY FOR CONNECTING A LEAD AND AN IMPLANTABLE MEDICAL  
DEVICE  
Serial No.: 10/632,028  
Filed: July 31, 2003

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8:** I hereby certify that this **INFORMATION DISCLOSURE STATEMENT** and the paper(s), as described herein, are being deposited in the U.S. Postal Service, as first class mail, addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 31<sup>st</sup> day of October, 2003.



Kathleen M. Altman  
Signature  
Kathleen M. Altman  
Printed Name

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

We are transmitting herewith the attached:

- ☒ Information Disclosure Statement
- ☒ PTO FORM 1449
- ☒ Copies of the 1<sup>st</sup> pages of the cited references
- ☒ Return Postcard

**FEE CALCULATION**

- ☒ \$ 00.00 Pursuant to 37 CFR §1.97(b) (before mailing of first Office Action)
- ☐ \$ 00.00 Pursuant to 37 CFR §1.97(c) with Certification (cited in foreign application not more than 3 months earlier)
- ☐ \$ 00.00 Pursuant to 37 CFR §1.97(e) with Certification
- ☐ \$180.00 Pursuant to 37 CFR §1.97(c) without Certification
- ☐ \$180.00 Pursuant to 37 CFR §1.97(d) with Certification

- ☐ Applicant hereby petitions for a \_\_\_\_\_ months' extension of time. If an additional extension of time is required, please consider this petition therefor.
- ☒ Applicant believes that no extension of time is required. However, if an extension of time is required, please consider this a petition therefor to provide for the possibility that applicant has inadvertently overlooked the need for an extension of time.
- ☒ Please charge any additional fees or credits to Deposit Account No. 13-2546 which may have been overlooked with regard to this filing. A duplicate of this transmittal is enclosed.

October 31, 2003  
Date

Michael C. Soldner  
Michael C. Soldner  
Reg. No. 41,455  
Telephone: (763) 514-4842  
Customer No. 27581



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Andrew J. Ries, et al. ) Art Unit: Unknown  
Serial No.: 10/632,028 ) Examiner: Unknown  
Filed: July 31, 2003 ) Docket: P-9173.00

For: CONNECTOR ASSEMBLY FOR CONNECTING A LEAD AND AN  
IMPLANTABLE MEDICAL DEVICE

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

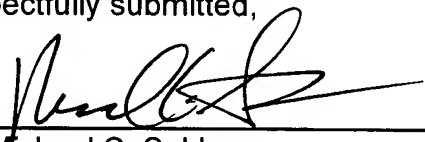
Dear Sir:

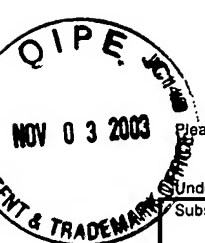
In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with C.F.R. §§ 1.97 *et. seq.*, the materials enclosed herewith are brought to the attention of the Examiner as possibly being of interest in connection with the above-identified patent application.

Consideration of each of the documents listed on the attached Form 1449 is respectfully requested. Pursuant to the provisions of M.P.E.P. §609, Applicant further requests that a copy of the Form 1449, marked as being considered and initialed by the Examiner, be returned with the next Official Communication.

Respectfully submitted,

Date: October 31, 2003

By:   
Michael C. Soldner  
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Please type a plus sign (+) inside this box → +

PTO/SB/O8A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

### Complete if Known

Application Number	10/632,028
Filing Date	July 31, 2003
First Named Inventor	Andrew J. Ries, et al.
Group Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	P9173.00

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite <sup>1</sup> No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	AA	5,807,144		Sivard	09/15/1998	
	AB	5,730,628		Hawkins	03/24/1998	
	AC	5,769,671		Lim	06/23/1998	
	AD	5,514,172		Mueller	05/07/1996	
	AE	5,261,395		Oleen, et al.	11/16/1993	
	AF	5,252,090		Giurtino, et al.	10/12/1993	
	AG	5,076,270		Stutz	12/31/1991	
	AH	4,971,057		Theres	11/20/1990	
	AI	4,934,367		Daglow, et al.	06/19/1990	
	AJ	4,934,366		Truex, et al.	06/19/1990	
	AK	4,655,462		Balsells	04/07/1987	
	AL	4,105,037		Richter, et al.	08/08/1978	

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite <sup>1</sup> No.	Foreign Patent Document			Name of Patentee of Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

## OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite <sup>1</sup> No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw Line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>1</sup> Unique citation designation number.

<sup>2</sup> See attached Kinds of U.S. Patent Documents.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbol as indicated on the document under WIPO Standard ST. 16 if possible.

<sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

<sup>1</sup> Unique citation designation number.

<sup>2</sup> Applicant is to place a check mark here if English language translation is attached.